



Development Applications and Technical Services

**Centers for Medicare & Medicaid Services**

# **Electronic Submission of Medical Documentation (esMD)**

## **RC Technical Release Changes for July 2020 Release - Preliminary**

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**Version 1.0**

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## 1. Introduction

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The Technical Release Changes document provides the interface and technical release changes that have been identified for the Change Requests (CR) that will be deployed to Production (PROD) in the July 2020 release (AR2020.07.0).

This document must be used in conjunction with the Centers for Medicare & Medicaid Services (CMS) Review Contractor (RC) Implementation Guides for Java and .NET. RCs must use Java Development Kit (JDK) Version 1.8 and .NET Framework Version 4.5 or higher.

This document describes any updates in the RC Client Application Programming Interface (API) that impact the RCs as part of the July 2020 release.

The audience of this document are implementers, such as architects and developers, responsible for the exchange of supporting/attachment information among healthcare providers, RCs, and their business associates, such as CMS.

**NOTE:** The RC Client API version number for Java and dotNet for the July release will be 8.0.

## 2. Purpose

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This document outlines the functional/technical aspects of the following functionalities that will be developed in the April 2020 release and deployed in the July 2020 release:

1. RCs will now have to send the document code list as part of Post-Pay eMDR's transaction. RCs will also be able to send 'enquiry text' as an optional field.
2. RCs will be able to receive the Document Code File (DCF) from esMD.
3. RCs will be able to receive the new XDR HOPD PA request and associated documents.

This document does not address installation and configuration details of the actual implementation.

## 3. Assumptions

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The esMD system complies with industry standards defined by various standards committees. Hence, it is extremely important that esMD participants adhere to the norms with the following assumptions:

1. Communications between the Electronic Submission of Medical Data (esMD) system and Medicare RCs will be asynchronous; and
2. The maximum size of each zip file generated for Post-Pay should be less than or equal to 140 Megabytes (MB).

## 4. eMDR (Post-Pay)

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The following changes will be implemented for the eMDR Post-Pay as part of 2020 release:

1. RCs will now have to send the document code list (changed from optional to required field) as part of Post Pay eMDR's transaction.

2. RCs will also be able to send 'enquiry text' as an optional field.

Table 1: eMDR Post-Pay XSD shows the updated XML schema definition.

**Table 1: eMDR Post-Pay XSD**

```
<?xml version="1.0" encoding="UTF-8"?>
<xs:schema xmlns:xs="http://www.w3.org/2001/XMLSchema"
  xmlns:tns="http://esmd.ois.cms.hhs.gov/v3/rc/esmd/emdr/postpay"
  targetNamespace="http://esmd.ois.cms.hhs.gov/v3/rc/esmd/emdr/postpay"
  elementFormDefault="qualified"
  attributeFormDefault="unqualified">

  <!-- AR2019.10 CR 31231-->
  <xs:element name="EMDRPostPayRequest">
    <xs:complexType>
      <xs:sequence>
        <xs:element name="eMDRType">
          <xs:annotation>
            <xs:documentation>Indicates the kind/type of
eMDR</xs:documentation>
          </xs:annotation>
          <xs:simpleType>
            <xs:restriction base="xs:string">
              <xs:enumeration value="POST-PAY"/>
            </xs:restriction>
          </xs:simpleType>
        </xs:element>
        <xs:element name="uniqueLetterId">
          <xs:annotation>
            <xs:documentation>This represent the Identifier
assigned by the Sender of the eMDR letter info (Non-MAC RC), to identify the
eMDR letter record Uniquely. </xs:documentation>
          </xs:annotation>
          <xs:simpleType>
            <xs:restriction base="xs:string">
              <xs:minLength value="1"/>
              <xs:maxLength value="40"/>
              <xs:pattern value="([a-zA-Z0-9]*)"/>
            </xs:restriction>
          </xs:simpleType>
        </xs:element>
        <xs:element name="letterDate" type="xs:string">
          <xs:annotation>
            <xs:documentation>Date affixed on the ADR
letter</xs:documentation>
          </xs:annotation>
        </xs:element>
        <xs:element name="respondTo">
          <xs:annotation>
            <xs:documentation>RC to whom the ADR response needs
to be sent by the Provider</xs:documentation>
          </xs:annotation>
          <xs:complexType>
            <xs:sequence>
              <xs:element name="organizationName">
```

```

        <xs:annotation>
            <xs:documentation>Name of the
Organization to which the ADR Response needs to be sent by the
Provider.</xs:documentation>
        </xs:annotation>
        <xs:simpleType>
            <xs:restriction base="xs:string">
                <xs:minLength value="1"/>
                <xs:maxLength value="60"/>
            </xs:restriction>
        </xs:simpleType>
    </xs:element>
    <xs:element name="addressLine1">
        <xs:annotation>
            <xs:documentation>First Address Line of
the RC, to which the documentation needs to be sent by the provider
        </xs:documentation>
        </xs:annotation>
        <xs:simpleType>
            <xs:restriction base="xs:string">
                <xs:minLength value="1"/>
                <xs:maxLength value="55"/>
            </xs:restriction>
        </xs:simpleType>
    </xs:element>
    <xs:element name="addressLine2" minOccurs="0">
        <xs:annotation>
            <xs:documentation>Second Address Line of
the RC, to which the documentation needs to be sent by the
provider</xs:documentation>
        </xs:annotation>
        <xs:simpleType>
            <xs:restriction base="xs:string">
                <xs:maxLength value="55"/>
            </xs:restriction>
        </xs:simpleType>
    </xs:element>
    <xs:element name="city">
        <xs:annotation>
            <xs:documentation>City associated with
the RC address, to which the documentation needs to be sent by the provider
        </xs:documentation>
        </xs:annotation>
        <xs:simpleType>
            <xs:restriction base="xs:string">
                <xs:minLength value="1"/>
                <xs:maxLength value="30"/>
            </xs:restriction>
        </xs:simpleType>
    </xs:element>
    <xs:element name="state">
        <xs:annotation>
            <xs:documentation>State associated with
the RC address, to which the documentation needs to be sent by the provider
        </xs:documentation>
        </xs:annotation>
        <xs:simpleType>

```

```

        <xs:restriction base="xs:string">
            <xs:minLength value="1"/>
            <xs:maxLength value="2"/>
        </xs:restriction>
    </xs:simpleType>
</xs:element>
<xs:element name="zipCode">
    <xs:annotation>
        <xs:documentation>ZIP Code associated
with the RC address, to which the documentation needs to be sent by the
provider</xs:documentation>
    </xs:annotation>
    <xs:simpleType>
        <xs:restriction base="xs:string">
            <xs:pattern value="[0-9]{1,9}"/>
        </xs:restriction>
    </xs:simpleType>
</xs:element>
<xs:element name="telephone" minOccurs="0">
    <xs:annotation>
        <xs:documentation>Information to the
provider to contact the RC in case of any questions.</xs:documentation>
    </xs:annotation>
    <xs:simpleType>
        <xs:restriction base="xs:string">
            <xs:maxLength value="10"/>
        </xs:restriction>
    </xs:simpleType>
</xs:element>
<xs:element name="telephoneExt" minOccurs="0">
    <xs:annotation>
        <xs:documentation>Information to the
provider to contact the RC in case of any questions.</xs:documentation>
    </xs:annotation>
    <xs:simpleType>
        <xs:restriction base="xs:string">
            <xs:maxLength value="5"/>
        </xs:restriction>
    </xs:simpleType>
</xs:element>
<xs:element name="faxNumber" minOccurs="0">
    <xs:annotation>
        <xs:documentation>Fax number to respond
with documentation</xs:documentation>
    </xs:annotation>
    <xs:simpleType>
        <xs:restriction base="xs:string">
            <xs:maxLength value="10"/>
        </xs:restriction>
    </xs:simpleType>
</xs:element>
</xs:sequence>
</xs:complexType>
</xs:element>
<xs:element name="senderDetails" minOccurs="0">
    <xs:annotation>

```

```
<xs:documentation>"RC who is generating/creating the  
ADR information package, to be sent to the Provider, electronically.
```

Note: RC who is creating the ADR information package may not always be the same RC, to whom the Provider need to Respond To."

```
</xs:documentation>  
</xs:annotation>  
<xs:complexType>  
  <xs:sequence>  
    <xs:element name="organizationName">  
      <xs:annotation>  
        <xs:documentation>Name of the  
Organization which is sending the ADR, to the Provider.</xs:documentation>  
      </xs:annotation>  
      <xs:simpleType>  
        <xs:restriction base="xs:string">  
          <xs:minLength value="1"/>  
          <xs:maxLength value="60"/>  
        </xs:restriction>  
      </xs:simpleType>  
    </xs:element>  
    <xs:element name="addressLine1" minOccurs="0">  
      <xs:annotation>  
        <xs:documentation>First Address Line of  
the RC, who is sending the ADR letter, to the Provider.  
</xs:documentation>  
      </xs:annotation>  
      <xs:simpleType>  
        <xs:restriction base="xs:string">  
          <xs:maxLength value="55"/>  
        </xs:restriction>  
      </xs:simpleType>  
    </xs:element>  
    <xs:element name="addressLine2" minOccurs="0">  
      <xs:annotation>  
        <xs:documentation>Second Address Line of  
the RC, who is sending the ADR letter, to the Provider. </xs:documentation>  
      </xs:annotation>  
      <xs:simpleType>  
        <xs:restriction base="xs:string">  
          <xs:maxLength value="55"/>  
        </xs:restriction>  
      </xs:simpleType>  
    </xs:element>  
    <xs:element name="city" minOccurs="0">  
      <xs:annotation>  
        <xs:documentation>City associated with  
the RC address, who is sending the ADR letter, to the Provider.  
</xs:documentation>  
      </xs:annotation>  
      <xs:simpleType>  
        <xs:restriction base="xs:string">  
          <xs:maxLength value="30"/>  
        </xs:restriction>  
      </xs:simpleType>  
    </xs:element>  
    <xs:element name="state" minOccurs="0">
```

```

        <xs:annotation>
            <xs:documentation>State associated with
the RC address, who is sending the ADR letter, to the Provider.
</xs:documentation>
        </xs:annotation>
        <xs:simpleType>
            <xs:restriction base="xs:string">
                <xs:maxLength value="2"/>
            </xs:restriction>
        </xs:simpleType>
    </xs:element>
    <xs:element name="zipCode" minOccurs="0">
        <xs:annotation>
            <xs:documentation>ZIP Code associated
with the RC address, who is sending the ADR letter, to the Provider.
</xs:documentation>
        </xs:annotation>
        <xs:simpleType>
            <xs:restriction base="xs:string">
                <xs:pattern value="[0-9]{1,9}"/>
            </xs:restriction>
        </xs:simpleType>
    </xs:element>
    <xs:element name="telephone" minOccurs="0">
        <xs:annotation>
            <xs:documentation>Contact Telephone
Number of the Sender of the ADR, to facilitate Provider enquiry, as need
arise.</xs:documentation>
        </xs:annotation>
        <xs:simpleType>
            <xs:restriction base="xs:string">
                <xs:maxLength value="10"/>
            </xs:restriction>
        </xs:simpleType>
    </xs:element>
    <xs:element name="telephoneExt" minOccurs="0">
        <xs:annotation>
            <xs:documentation>Contact Telephone
Number extension of the Sender of the ADR, to facilitate Provider enquiry,
as need arise.</xs:documentation>
        </xs:annotation>
        <xs:simpleType>
            <xs:restriction base="xs:string">
                <xs:maxLength value="5"/>
            </xs:restriction>
        </xs:simpleType>
    </xs:element>
</xs:sequence>
</xs:complexType>
</xs:element>
<xs:element name="providerDetails">
    <xs:annotation>
        <xs:documentation>Provider to whom the intended eMDR
Letter Package is to be delivered</xs:documentation>
    </xs:annotation>
    <xs:complexType>
        <xs:sequence>

```

```

        <xs:element name="firstName" minOccurs="0">
            <xs:annotation>
                <xs:documentation>First Name of the
Billing Provider</xs:documentation>
            </xs:annotation>
            <xs:simpleType>
                <xs:restriction base="xs:string">
                    <xs:maxLength value="35"/>
                </xs:restriction>
            </xs:simpleType>
        </xs:element>
        <xs:element name="middleName" minOccurs="0">
            <xs:annotation>
                <xs:documentation>Middle Name of the
Billing Provider</xs:documentation>
            </xs:annotation>
            <xs:simpleType>
                <xs:restriction base="xs:string">
                    <xs:maxLength value="25"/>
                </xs:restriction>
            </xs:simpleType>
        </xs:element>
        <xs:element name="organizationOrLastName">
            <xs:annotation>
                <xs:documentation>"Last Name of the
Individual Provider
OR
Name of the Organization"
            </xs:documentation>
            </xs:annotation>
            <xs:simpleType>
                <xs:restriction base="xs:string">
                    <xs:minLength value="1"/>
                    <xs:maxLength value="60"/>
                </xs:restriction>
            </xs:simpleType>
        </xs:element>
        <xs:element name="addressLine1">
            <xs:annotation>
                <xs:documentation>First Address Line of
the Provider, to whom the ADR letter is getting sent.
            </xs:documentation>
            </xs:annotation>
            <xs:simpleType>
                <xs:restriction base="xs:string">
                    <xs:minLength value="1"/>
                    <xs:maxLength value="55"/>
                </xs:restriction>
            </xs:simpleType>
        </xs:element>
        <xs:element name="addressLine2" minOccurs="0">
            <xs:annotation>
                <xs:documentation>Second Address Line of
the Provider, to whom the ADR letter is getting sent.</xs:documentation>
            </xs:annotation>
            <xs:simpleType>
                <xs:restriction base="xs:string">

```

```

        <xs:maxLength value="55"/>
    </xs:restriction>
</xs:simpleType>
</xs:element>
<xs:element name="city">
    <xs:annotation>
        <xs:documentation>City associated with
the Provider address, to whom the ADR letter is getting sent.
</xs:documentation>
    </xs:annotation>
    <xs:simpleType>
        <xs:restriction base="xs:string">
            <xs:minLength value="1"/>
            <xs:maxLength value="30"/>
        </xs:restriction>
    </xs:simpleType>
</xs:element>
<xs:element name="state">
    <xs:annotation>
        <xs:documentation>State associated with
the Provider address, to whom the ADR letter is getting sent.
</xs:documentation>
    </xs:annotation>
    <xs:simpleType>
        <xs:restriction base="xs:string">
            <xs:minLength value="1"/>
            <xs:maxLength value="2"/>
        </xs:restriction>
    </xs:simpleType>
</xs:element>
<xs:element name="zipCode">
    <xs:annotation>
        <xs:documentation>ZIP Code associated
with the Provider address, to whom the ADR letter is getting sent.
</xs:documentation>
    </xs:annotation>
    <xs:simpleType>
        <xs:restriction base="xs:string">
            <xs:pattern value="[0-9]{1,9}"/>
        </xs:restriction>
    </xs:simpleType>
</xs:element>
<xs:element name="providerNumberOrPTAN"
minOccurs="0">
    <xs:annotation>
        <xs:documentation>"Represents the
Provider Number
OR
Provider Transaction Access Number (PTAN)"
</xs:documentation>
    </xs:annotation>
    <xs:simpleType>
        <xs:restriction base="xs:string">
            <xs:maxLength value="13"/>
        </xs:restriction>
    </xs:simpleType>
</xs:element>

```

```

        <xs:element name="npi">
            <xs:annotation>
                <xs:documentation>NPI of the eMDR
Registered Billing Provider
            </xs:documentation>
            </xs:annotation>
            <xs:simpleType>
                <xs:restriction base="xs:long">
                    <xs:maxInclusive
value="9999999999"/>
                    <xs:minInclusive value="1"/>
                    <xs:pattern value="\d{10}"/>
                </xs:restriction>
            </xs:simpleType>
        </xs:element>
        <xs:element name="faxNumber" minOccurs="0">
            <xs:annotation>
                <xs:documentation>Fax number of the
Provider / Provider Organization
            </xs:documentation>
            </xs:annotation>
            <xs:simpleType>
                <xs:restriction base="xs:string">
                    <xs:maxLength value="10"/>
                </xs:restriction>
            </xs:simpleType>
        </xs:element>
    </xs:sequence>
</xs:complexType>
</xs:element>
<xs:element name="letterDetails">
    <xs:annotation>
        <xs:documentation>Represent few of the dynamic
elements that appears in the ADR letter
    </xs:documentation>
    </xs:annotation>
    <xs:complexType>
        <xs:sequence>
            <xs:element name="respondBy" type="xs:string">
                <xs:annotation>
                    <xs:documentation>Date by which the
Response to the ADR is expected from the Provider, by the RC
                </xs:documentation>
                </xs:annotation>
            </xs:element>
            <xs:element name="jurisdiction">
                <xs:annotation>
                    <xs:documentation>Represents the
Jurisdiction or the Region to which the RC is associated.
                </xs:documentation>
                </xs:annotation>
                <xs:simpleType>
                    <xs:restriction base="xs:string">
                        <xs:minLength value="1"/>
                        <xs:maxLength value="40"/>
                    </xs:restriction>
                </xs:simpleType>
            </xs:element>
        </xs:sequence>
    </xs:complexType>
</xs:element>

```

```

        </xs:element>
        <xs:element name="programName">
            <xs:annotation>
                <xs:documentation>Indicates the Name of
the Program which is sending this ADR letter
                </xs:documentation>
            </xs:annotation>
            <xs:simpleType>
                <xs:restriction base="xs:string">
                    <xs:minLength value="1"/>
                    <xs:maxLength value="10"/>
                </xs:restriction>
            </xs:simpleType>
        </xs:element>
    </xs:sequence>
</xs:complexType>
</xs:element>
<xs:element name="reviewLevelRecordList">
    <xs:complexType>
        <xs:sequence>
            <xs:element name="reviewLevel"
maxOccurs="unbounded">
                <xs:complexType>
                    <xs:sequence>
                        <xs:element
name="analysisRecordList">
                            <xs:complexType>
                                <xs:sequence>
                                    <xs:element
name="analysisRecord" maxOccurs="100">
                                        <xs:complexType>
                                            <xs:sequence>
                                                <xs:element
name="analysisID">
                                                    <xs:annotation>
<xs:documentation>"System Identifier assigned by the RC, to indicate a
specific analysis/project.
(Example: Reference #, Issue #, or Project ID)
(Can Repeat more than once for a given ADR Letter)"
                                                    </xs:documentation>
</xs:annotation>
<xs:simpleType>
<xs:restriction base="xs:string">
<xs:minLength value="1"/>
<xs:maxLength value="40"/>
</xs:restriction>

```

```

</xs:simpleType>
</xs:element>
<xs:element
name="analysisFactorList" minOccurs="0">
<xs:complexType>
<xs:sequence>
<xs:element name="analysisFactor" minOccurs="0" maxOccurs="25">
<xs:annotation>
<xs:documentation>"Data attribute used by the RC, to conduct the
analysis/project with, OR the basis on which the analysis began.
(Example: Procedure Code, DRG, etc...)
(Can Repeat upto a limit of 25 for a given Analysis ID)"
</xs:documentation>
</xs:annotation>
<xs:simpleType>
<xs:restriction base="xs:string">
<xs:maxLength value="30"/>
</xs:restriction>
</xs:simpleType>
</xs:element>
</xs:sequence>
</xs:complexType>
</xs:element>
<xs:element
name="documentCodeList">
<xs:complexType>
<xs:sequence>
<xs:element name="documentCode" maxOccurs="100">
<xs:annotation>
<xs:documentation>Code to indicate the document to be requested.
(Can Repeat upto a limit of 100 for a given Analysis ID)</xs:documentation>

```

```

</xs:annotation>
<xs:simpleType>
<xs:restriction base="xs:string">
<xs:maxLength value="24"/>
</xs:restriction>
</xs:simpleType>
</xs:element>
</xs:sequence>
</xs:complexType>
</xs:element>
<xs:element
name="enquiryTextList" minOccurs="0">
<xs:complexType>
<xs:sequence>
<xs:element name="enquiryText" minOccurs="0" maxOccurs="4">
<xs:simpleType>
<xs:restriction base="xs:string">
<xs:maxLength value="4000"/>
</xs:restriction>
</xs:simpleType>
</xs:element>
</xs:sequence>
</xs:complexType>
</xs:element>
<xs:element
name="claimLevelItemList" minOccurs="0">
<xs:complexType>
<xs:sequence>
<xs:element name="claimSetLevel" minOccurs="0" maxOccurs="unbounded">
<xs:complexType>

```

```

<xs:sequence>
  <xs:element name="caseID" minOccurs="0">
    <xs:annotation>
      <xs:documentation>Case ID reference for the letter (On some of the ADR
letters it is the document #)
      </xs:documentation>
    </xs:annotation>
    <xs:simpleType>
      <xs:restriction base="xs:string">
        <xs:maxLength value="35"/>
      </xs:restriction>
    </xs:simpleType>
  </xs:element>
  <xs:element name="claimDetails" maxOccurs="unbounded">
    <xs:annotation>
      <xs:documentation>"Represents the elements which are represented at the Clam
details.
Note: Section Could be repeated as many times as needed"
      </xs:documentation>
    </xs:annotation>
    <xs:complexType>
      <xs:sequence>
        <xs:element name="claimID">
          <xs:annotation>
            <xs:documentation>The Claim Reference Number in CMS/RC
system</xs:documentation>
          </xs:annotation>
          <xs:simpleType>
            <xs:restriction base="xs:string">
              <xs:minLength value="1"/>
            </xs:restriction>
          </xs:simpleType>
        </xs:element>
      </xs:sequence>
    </xs:complexType>
  </xs:element>
</xs:sequence>

```

```
<xs:maxLength value="23"/>
</xs:restriction>
</xs:simpleType>
</xs:element>
<xs:element name="medicalRecordNumber" minOccurs="0">
<xs:annotation>
<xs:documentation>The reference number of the Beneficiary in Provider
system.</xs:documentation>
</xs:annotation>
<xs:simpleType>
<xs:restriction base="xs:string">
<xs:maxLength value="25"/>
</xs:restriction>
</xs:simpleType>
</xs:element>
<xs:element name="beneficiaryID">
<xs:annotation>
<xs:documentation>Identifier of the Beneficiary who is receiving the
Service</xs:documentation>
</xs:annotation>
<xs:simpleType>
<xs:restriction base="xs:string">
<xs:minLength value="1"/>
<xs:maxLength value="12"/>
</xs:restriction>
</xs:simpleType>
</xs:element>
<xs:element name="beneficiaryFirstName" minOccurs="0">
<xs:annotation>
```

```

<xs:documentation>First Name of the Beneficiary who is receiving the
Service</xs:documentation>

</xs:annotation>

<xs:simpleType>

<xs:restriction base="xs:string">

<xs:maxLength value="35"/>

</xs:restriction>

</xs:simpleType>

</xs:element>

<xs:element name="beneficiaryMiddleName" minOccurs="0">

<xs:annotation>

<xs:documentation>Middle Name of the Beneficiary who is receiving the
Service</xs:documentation>

</xs:annotation>

<xs:simpleType>

<xs:restriction base="xs:string">

<xs:maxLength value="25"/>

</xs:restriction>

</xs:simpleType>

</xs:element>

<xs:element name="beneficiaryLastName">

<xs:annotation>

<xs:documentation>Last Name of the Beneficiary who is receiving the
Service</xs:documentation>

</xs:annotation>

<xs:simpleType>

<xs:restriction base="xs:string">

<xs:maxLength value="60"/>

<xs:minLength value="1"/>

</xs:restriction>

```

```

</xs:simpleType>
</xs:element>
<xs:element name="typeOfBill" minOccurs="0">
<xs:annotation>
<xs:documentation>Represent the Bill Type for Institutional
Claims</xs:documentation>
</xs:annotation>
<xs:simpleType>
<xs:restriction base="xs:string">
<xs:maxLength value="3"/>
</xs:restriction>
</xs:simpleType>
</xs:element>
<xs:element name="procedureCodeAndModifiers" minOccurs="0">
<xs:annotation>
<xs:documentation>Procedure Code and/or associated Modifiers associated with
the Claim</xs:documentation>
</xs:annotation>
<xs:simpleType>
<xs:restriction base="xs:string">
<xs:maxLength value="13"/>
</xs:restriction>
</xs:simpleType>
</xs:element>
<xs:element name="startDateOfService" type="xs:string" minOccurs="0">
<xs:annotation>
<xs:documentation>From Date of Service</xs:documentation>
</xs:annotation>
</xs:element>

```



```

<letterDate>03/20/2020</letterDate>
<respondTo>
  <organizationName>TestRC</organizationName>
  <addressLine1>PO Box 20006</addressLine1>
  <addressLine2>add2 dummy</addressLine2>
  <city>Nashville</city>
  <state>TN</state>
  <zipCode>37202</zipCode>
  <telephone>4123456789</telephone>
  <telephoneExt>12345</telephoneExt>
  <faxNumber>4102345678</faxNumber>
</respondTo>
<senderDetails>
  <organizationName>RC1</organizationName>
  <addressLine1>PO Box 20006</addressLine1>
  <addressLine2>add2 dummy</addressLine2>
  <city>Nashville</city>
  <state>TN</state>
  <zipCode>37202</zipCode>
</senderDetails>
<providerDetails>
  <firstName>John</firstName>
  <middleName>Smith</middleName>
  <organizationOrlastName>Keipro</organizationOrlastName>
  <addressLine1>PO Box 20006</addressLine1>
  <addressLine2>add2 dummy</addressLine2>
  <city>Nashville</city>
  <state>TN</state>
  <zipCode>37202</zipCode>
  <providerNumberOrPTAN>pTAN</providerNumberOrPTAN>
  <npi>1234567890</npi>
  <faxNumber>4012345678</faxNumber>
</providerDetails>
<letterDetails>
  <respondBy>03/20/2020</respondBy>
  <jurisdiction>MAC JH</jurisdiction>
  <programName>PostPay</programName>
</letterDetails>
<reviewLevelRecordList>
  <reviewLevel>
    <analysisRecordList>
      <analysisRecord>
        <analysisID>abcd</analysisID>
        <analysisFactorList>
          <analysisFactor>factor1</analysisFactor>
          <analysisFactor>factor2</analysisFactor>
          <analysisFactor>factor3</analysisFactor>
        </analysisFactorList>
        <documentCodeList>
          <documentCode>code1</documentCode>
          <documentCode>code2</documentCode>
        </documentCodeList>
        <enquiryTextList>
          <enquiryText>EnquiryText1</enquiryText>
          <enquiryText>EnquiryText2</enquiryText>
        </enquiryTextList>
        <claimLevelItemList>

```

```

        <claimSetLevel>
            <caseID>Case123</caseID>
            <claimDetails>
                <claimID>claim123</claimID>
</medicalRecordNumber>medno</medicalRecordNumber>
                <beneficiaryID>BENE</beneficiaryID>
</beneficiaryFirstName>John</beneficiaryFirstName>
</beneficiaryMiddleName>Smith</beneficiaryMiddleName>
</beneficiaryLastName>Kepro</beneficiaryLastName>
                <typeOfBill>234</typeOfBill>
</procedureCodeAndModifiers>proc</procedureCodeAndModifiers>
</startDateOfService>03/20/2020</startDateOfService>
</endDateOfService>03/20/2020</endDateOfService>
            </claimDetails>
        </claimSetLevel>
    </claimLevelItemList>
</analysisRecord>
</analysisRecordList>
</reviewLevel>
</reviewLevelRecordList>
</EMDRPostPayRequest>

```

## 5. Document Code File (DCF)

The RC Client API shall download/pull the new DCF Flat File from the Managed File Transfer (MFT) server. The API shall move the DCF Flat File to the temp Folder; and the API shall continue processing with the header, body, and trailer validations. The API shall send a success pickup or error pickup notification based on the status of the validation. API shall move the DCF flat file to Input folder and delete the DCF Flat file from the temp folder.

The following are the validations performed for the DCF flat file.

- Length of the flat file lines should be within the limits
- Number of document codes present in flat file should be equal to the number mentioned in same flat file trailer
- Name of the DCF file should contain proper content type code of 17
- Header and Trailer should start with pre-defined character

Figure 1: Document code file (DCF) Flow

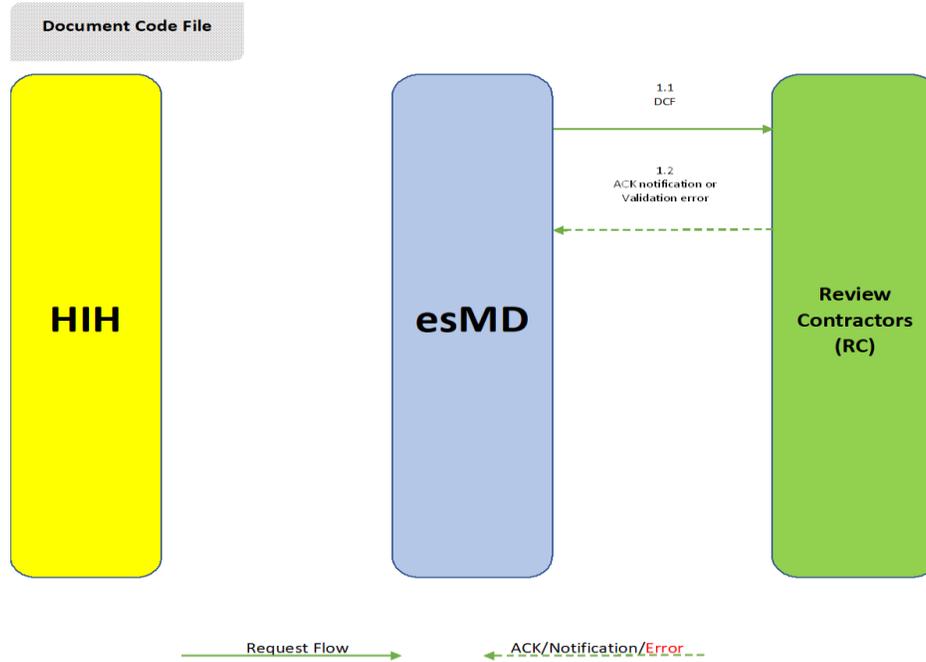


Table 3: Document Code File Process Flow Steps

Message Sequence	Description
1.1	The RC receives the DCF flat file from the esMD system via MFT server
1.2	The RC system processes the DCF flat file received from the esMD and generates the appropriate acceptance or rejection response acknowledgement to the esMD

## 5.1 Pickup notification for Document code file

Table 4: Sample Pickup Notification XML and Table 5: Sample Error Pickup Notification XML shows the sample pickup notification XML files generated by RC Client API for DCF flat file.

Table 4: Sample Pickup Notification XML

```

<?xml version="1.0" encoding="utf-8" standalone="yes"?>
<RCPickupNotification xmlns:xsd="http://www.w3.org/2001/XMLSchema"
xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"
xmlns="http://esmd.ois.cms.hhs.gov/v1/rc/config">
  <ESMDTransactionId xmlns="">ZLM</ESMDTransactionId>
  <RoutingId xmlns="">ESD002</RoutingId>
  <PickupTime xmlns="">2020-02-12T14:20:00.7187292-
05:00</PickupTime>
  <SubmissionTime xmlns="">2020-02-12T14:20:00.7187292-
05:00</SubmissionTime>
  <fileName
xmlns="">D.ESD002.L16.EZLM.ESMD2.D200131.T0803010.Valid</fileName>
  
```

---

```
</RCPickupNotification>
```

**Table 5: Sample Error Pickup Notification XML**

```
<?xml version="1.0" encoding="utf-8" standalone="yes"?>
<RCPickupNotification xmlns:xsd="http://www.w3.org/2001/XMLSchema"
xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"
xmlns="http://esmd.ois.cms.hhs.gov/v1/rc/config">
  <ESMDTransactionId xmlns="">ZLM</ESMDTransactionId>
  <RoutingId xmlns="">ESD002</RoutingId>
  <PickupTime xmlns="">2020-02-12T14:54:04.599-
05:00</PickupTime>
  <SubmissionTime xmlns="">2020-02-12T14:54:04.599-
05:00</SubmissionTime>
  <ErrorInfo xmlns="">
    <ErrorCode>515</ErrorCode>
    <ErrorName>ERROR DOCUMENT CODES VALIDATE
FILE</ErrorName>
    <ErrorDescription> Invalid line length for
line 1; Expected: 1035, Actual: 1021
Invalid line length for line 2; Expected: 1035, Actual: 1028
Invalid line length for line 7; Expected: 1035, Actual: 1029
Invalid line length for line 8; Expected: 1035, Actual: 1029
Invalid line length for line 9; Expected: 1035, Actual: 1025
    </ErrorDescription>
  </ErrorInfo>
  <fileName
xmlns="">D.ESD002.L16.EZLM.ESMD2.D200131.T0803010_Invalid</fileName>
</RCPickupNotification>
```

---

## 6. HOPD (Hospital Outpatient Department) PA program.

HOPD PA program is similar to other PA program currently supported by esMD with more than one item/service listed per request/response. Currently esMD only supports HOPD PA program in the XDR format. HOPD program requests will have content type code of 8.5. RcClient API will be able to upload and download files related to HOPD PA program similar to other PA program. The reject responses and Administrative responses can be generated via RC Client API similar to other PA programs.

---

## 7. TIBCO MFT File Transfers

Table 6: Files Format describes the file names and formats for the Inbound and Outbound flows.

**Table 6: Files Format**

Type	Example File Name	Description
Inbound	T.<<ReceiverRoutingId>>.L<<CTC>>.E<<3CharRandom>>.<<SenderRoutingID>>.DMMddy.THHmssS	<p>Submissions received from esMD to the RC: Existing formats are used for DCF and HOPD programs.</p> <ul style="list-style-type: none"> <li>• T – Environment ID. T is for User Acceptance Testing (UAT) and P is for Production (PROD);</li> <li>• &lt;&lt;ReceiverRoutingId&gt;&gt; – RC Routing ID;</li> <li>• L – The Line of Business; &lt;&lt;CTC&gt;&gt; – Content Type Code (CTC) of the program ;</li> <li>• E – Delivery type of the inbound request;</li> <li>• &lt;&lt;3CharRandom&gt;&gt; – 3-character random number included by esMD;</li> <li>• &lt;&lt;SenderRoutingID&gt;&gt; – Sender Routing ID which is ESMD2;</li> <li>• DMMddy – Date format in MMDDYY; and THHmssS – Time format in THHmssS</li> </ul>
Outbound	T#EFT.ON.<<ReceiverRoutingId>>.L<<CTC>>.P<<3CharRandom>>.<<SenderRoutingID>>.DMMddy.THHmssS	<p>Pickup notification file name from RC to esMD: Existing formats are used for DCF and HOPD programs.</p> <ul style="list-style-type: none"> <li>• T – Environment ID. T is for UAT and P is for PROD;</li> <li>• &lt;&lt;ReceiverRoutingId&gt;&gt; – RC Routing ID;</li> <li>• L – The Line of Business;</li> <li>• &lt;&lt;CTC&gt;&gt; – CTC of the program;</li> <li>• P – Delivery type of the Pickup Notification for Service Registration Request;</li> <li>• &lt;&lt;3CharRandom&gt;&gt; – 3-character random number included by esMD;</li> <li>• &lt;&lt;SenderRoutingID&gt;&gt; – Sender Routing ID which is ESMD2;</li> <li>• DMMddy – Date format in MMDDYY; and THHmssS – Time format in THHmssS.</li> </ul>

Type	Example File Name	Description
Outbound	T #EFT.ON.<<ReceiverRoutingId>>.ADM.D<<3CharRandom>>.<<SenderRoutingID>>.DMMddy.THHmssS	Administrative Error Response from RC to esMD : 1. T – Environment ID. T is for UAT and P is for PROD; 2. <<ReceiverRoutingId>> – RC Routing ID; 3. ADM – Administrative error response; 4. D – Delivery type of the Administrative error response; 5. <<3CharRandom>> – 3-character random number included by esMD; 6. <<SenderRoutingID>> – Sender Routing ID which is ESMD2; 7. DMMddy – Date format in MMDDYY; and  THHmssS – Time format in THHmssS.
Outbound	T. #EFT.ON.<<ReceiverRoutingId>>.PAR.<<3CharRandom>>.<<SenderRoutingID>>.DMMddy.THHmssS	Reject Response to PA request from RC to esMD: 1. T – Environment ID. T is for UAT and P is for PROD; 2. <<ReceiverRoutingId>> – RC Routing ID; 3. PA – Prior Authorization; 4. R – Delivery type of the Error Response; 5. <<3CharRandom>> – 3-character random number included by esMD; 6. <<SenderRoutingID>> – Sender Routing ID which is ESMD2; 7. DMMddy – Date format in MMDDYY; and  THHmssS – Time format in THHmssS.

## 8. RC Client API

Inbound process flow of the RC Client API will be updated to download the DCF flat file and new XDR HOPD PA request. The API will generate the pickup notifications back to esMD. RC's can also use the existing screens to send HOPD PA administrative error and reject responses.

### 8.1 API Error Messages

**NOTE:** More information on this will be provided in the Final Technical Release Change Document.

Table 7: RC Client Error Codes and Error Messages lists the validation error messages while processing DCF file in the RC Client API.

**Table 7: RC Client Error Codes and Error Messages**

ID	Scenario	Error Code	Error Message
1	When the RC downloads the Document Codes flat file, validation is performed to ensure that each line is 1035 characters, the number of document code records is equal to the document code count in the trailer record, and starting character of header and trailer is as predefined and any kind of processing errors.	515	Unable to validate flat file '<local path of flat file>' : <detailed validation error message>

## 9. Reconciliation Report

This section describes the changes that are planned for Recon reports.

The esMD system will implement the new PA (HOPD) program and the submission will be included in MR101 (Excel) and MR102 (Comma Separated Values (CSV)) reports. See Figure 2: Recon Report for the sample layout of the report.

**Figure 2: Recon Report**

Reconciliation Report - Report Execution Time 3/5/2020 1:53:37 PM																						
[Submission Timestamp] > 2/27/2020 12:00:00 AM																						
[Submission Update Timestamp] Between 3/4/2020 12:00:00 AM and 3/5/2020 12:00:00 AM)																						
Non Handler(s): All																						
Factor(s): All																						
File:																						
Transaction ID	Parent Transaction ID	Sender	Sender Type	Recipient	Recipient Type	Unique Letter ID	Submission Date	Content Type	CTC Description	Transaction Type	Claim ID	Case ID	NPI	Unique ID	Transaction Status	Recipient Pickup Status	Recipient Pickup Time	Recipient/PA Response Time	Number of Documents	Number of Structures	Audit Event/Exception Description	Delivery to EFT
AQ20000703878	NA	PCG-esMD	PCG	NA	NA	NA	3/5/2020 15:36 PM	17	DOCUCODE	Document	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA
DVP00007038488	NA	PCG-esMD	PCG	NA	NA	NA	2/28/2020 4:52:26 PM	16	NA	-	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA
EGM00007038571	NA	PCG-esMD	PCG	NA	NA	NA	3/3/2020 9:38:38 AM	16	NA	-	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA
EYM00007038779	NA	PCG-esMD	PCG	NA	NA	NA	3/5/2020 10:33:54 AM	17	DOCUCODE	Document	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA
GDS00007038482	NA	PCG-esMD	PCG	NA	NA	NA	2/28/2020 5:32:17 PM	16	NA	-	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA
GZA00007038780	NA	PCG-esMD	PCG	NA	NA	NA	3/5/2020 10:40:45 AM	17	DOCUCODE	Document	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA
KE000007038497	NA	PCG-esMD	PCG	NA	NA	NA	2/28/2020 4:55:41 PM	16	NA	-	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA
KNJ00007038506	NA	PCG-esMD	PCG	NA	NA	NA	2/28/2020 11:23:26 PM	16	NA	-	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA
LLV00007038494	NA	PCG-esMD	PCG	NA	NA	NA	2/28/2020 6:04:53 PM	16	NA	-	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA
MUT00007038480	NA	PCG-esMD	PCG	NA	NA	NA	2/28/2020 5:01:43 PM	16	NA	-	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA
QTV00007038778	NA	PCG-esMD	PCG	NA	NA	NA	3/5/2020 10:17:12 AM	16	NA	-	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA

---

## Appendix A: Record of Changes

Table 8: Record of Changes

Version Number	Date	Author/Owner	Description of Change
1.0	03/20/2020	Karthik Srinivasan, Viji Muthukrishnan	Initial delivery for AR2020.07.0

---

## Appendix B: Acronyms

Table 9: Acronyms

Acronym	Literal Translation
ADR	Additional Document Request
API	Application Programming Interface
CMS	Centers for Medicare & Medicaid Services
eMDR	Electronic Medical Documentation Request
esMD	Electronic Submission of Medical Documentation
MB	Megabytes
MFT	Managed File Transfer
PDF	Portable Document Format
PROD	Production
RC	Review Contractor
TBD	To Be Determined
URL	Universal Resource Locator
XDR	Cross-Enterprise Document Reliable Interchange
XML	Extensible Markup Language
HOPD	Hospital Outpatient Department

## Appendix C: Referenced Documents

Table 10: Referenced Documents

Document Name	Document Location and/or URL	Issuance Date
Accredited Standards Committee (ASC) X12N/006020X316 (275) TR3 Implementation Guide	<a href="http://store.x12.org/store/healthcare-4050-5010-tr3-schemas">http://store.x12.org/store/healthcare-4050-5010-tr3-schemas</a>	N/A
Council for Affordable Quality Healthcare (CAQH) Committee on Operating Rules for Information Exchange (CORE) X12 Document Submission Service Interface Specification	<a href="http://sequoiaproject.org/wp-content/uploads/2014/11/caqh-core-x12-document-submission-service-specification-v1-0-508.pdf">http://sequoiaproject.org/wp-content/uploads/2014/11/caqh-core-x12-document-submission-service-specification-v1-0-508.pdf</a>	03/06/2012
Health Level Seven International (HL7)-Clinical Data Architecture (CDA) Implementation Standards	<a href="http://www.hl7.org/implement/standards/index.cfm?ref=nav">http://www.hl7.org/implement/standards/index.cfm?ref=nav</a>	N/A
HIPAA-TO-HUPA-VIA-ESMD-spreadsheet	<a href="https://share.cms.gov/office/OFM/FMSG/DPS/S/esMD/HIPAA-TO-HUPA-VIA-ESMD-AR2019_01_0.xlsx?Web=1">https://share.cms.gov/office/OFM/FMSG/DPS/S/esMD/HIPAA-TO-HUPA-VIA-ESMD-AR2019_01_0.xlsx?Web=1</a>	12/14/2018
RC Client Implementation Guide .NET for AR2020.07.0	TBD	TBD
RC Client Implementation Guide Java for AR2020.07.0	TBD	TBD